

ADMINISTRATION GUIDELINES

FOR REGISTERED TRAINING ORGANISATIONS DELIVERING
GENERAL INDUCTION TRAINING IN NSW UNDER THE NATIONAL
CODE OF PRACTICE FOR INDUCTION FOR CONSTRUCTION WORK

1 SEPTEMBER 2009

Disclaimer

This publication may contain occupational health and safety and workers compensation information. It may include some of your obligations under the various legislations that WorkCover NSW administers. To ensure you comply with your legal obligations you must refer to the appropriate legislation.

Information on the latest laws can be checked by visiting the NSW legislation website (www.legislation.nsw.gov.au) or by contacting the free hotline service on 02 9321 3333.

This publication does not represent a comprehensive statement of the law as it applies to particular problems or to individuals or as a substitute for legal advice. You should seek independent legal advice if you need assistance on the application of the law to your situation.

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PREAMBLE

These *WorkCover NSW Administration Guidelines for Registered Training Organisations Delivering General Induction Training in NSW under the National Code of Practice for Induction for Construction Work* (Administration Guidelines) are issued under the *Occupational Health and Safety Regulation 2001* (OHS Regulation 2001) and are effective from 1 September 2009. This document supersedes all previous versions of the Administration Guidelines for accredited trainers and approved providers under the former system. The purpose of these Administration Guidelines is to ensure industry confidence in training through a consistent approach to the administration and delivery of general induction training in NSW under the *National Code of Practice for Induction for Construction Work* (National Code).

The National Code was declared by Safe Work Australia's predecessor, the Australian Safety and Compensation Council, in May 2007. The National Code is part of a package of Occupational Health and Safety (OHS) material in support of the *National Standard for Construction Work* [NOHSC:1016 (2005)].

The National Code provides guidance to persons working in the general and residential construction sector on the types of induction training that may be needed in order to provide construction workers with an awareness and understanding of common hazards on construction sites and how they should be managed. Adoption of the National Code by the Australian, State and Territory governments will reduce inconsistency and confusion for employers and workers in the construction industry by having one set of arrangements throughout Australia. WorkCover adopted the National Code on 1 September 2009.

Under the National Code there are three types of OHS induction training that may be required:

- General induction
- Site induction
- Task-specific induction.

This document's principal focus is on the aspect of the National Code that deals with changes to the general induction training requirements for persons working in the construction industry. Principal contractors and employers in NSW must ensure that site induction and task-specific induction (the other focus of the National Code) is undertaken as required by the National Code, OHS Regulation 2001 and any other obligations imposed by OHS and workers compensation legislation.

Part 6 of the National Code requires general induction training to be delivered under the Australian Quality Framework by a Registered Training Organisation (RTO) with the relevant scope of registration. RTOs are responsible for ensuring that general induction training that they conduct meets the requirements of the National Code, the Occupational Health and Safety Act 2000 and the OHS Regulation 2001.

In addition to responsibilities and obligations under these Administration Guidelines and the OHS legislation, an RTO and their trainers (nominated trainer) may have responsibilities and obligations under the:

- *Privacy and Personal Information Protection Act 1998*
- *Anti-Discrimination Act 1977*
- *State Records Act 1998*
- *Independent Commission Against Corruption Act 1998*
- *National Code of Practice for Induction for Construction Work*
- *WorkCover NSW Code of Conduct for Registered Training Organisations delivering general induction training in NSW (Code of Conduct)*
- *Australian Quality Training Framework 2007 Essential Standards for Registration*

Whilst these Administration Guidelines refer primarily to the obligations of the RTO, it is understood that, even where not specifically stated, the RTOs nominated trainers are also bound by these Administration Guidelines. This is in recognition of the fact that the nominated trainer is acting on behalf of the RTO, which has the obligation to ensure that general induction training is delivered in accordance with these Administration Guidelines.

Additional copies of this document are available on the WorkCover NSW website at www.workcover.nsw.gov.au or by contacting the Third Party Management Unit (3PM) on 1800 855 969.

Third Party Management Unit

WorkCover NSW

Locked Bag 2906

LISAROW NSW 2252

Phone: 1800 855 969

Email: thirdparty@workcover.nsw.gov.au

Fax: 02 9287 5994

GLOSSARY OF TERMS

For the purpose of these Administration Guidelines, the following definitions apply:

<i>Administration Guidelines</i>	RTOs and their nominated trainers are required to comply with these Administration Guidelines when delivering general induction training in NSW.
<i>AQTF 2007 Essential Standards for Registration</i>	Training organisations must meet these standards in order to deliver and assess nationally recognised training and issue nationally recognised qualifications. They include three standards, a requirement for RTOs to gather information on their performance against three quality indicators, and nine conditions of registration.
<i>Assessment</i>	The process of collecting evidence and making a judgment on the competency of an individual to perform to the competency standard. WorkCover NSW mandates the use of a standardised assessment instrument (assessment tool) and recognised prior learning instrument (RPL tool).
<i>Audit</i>	<p>The processes used to evaluate, verify and make a judgment on an individual or organisation's delivery and assessment of general induction training in NSW for compliance with:</p> <ul style="list-style-type: none"> • the conditions of approval contained within this document • these Administration Guidelines • the <i>WorkCover NSW Code of Conduct for Registered Training Organisations Delivering General Induction Training in NSW under the National Code of Practice for Induction for Construction Work</i> (Code of Conduct) • the specified unit of competency for the delivery of general induction training under the National Code • the mandated assessment tool • the mandated RPL tool.
<i>Australian Quality Training Framework (AQTF)</i>	The AQTF is the national set of standards which assures nationally consistent, high-quality training and assessment services for the clients of Australia's vocational education and training (VET) system. AQTF 2007 is the current version of the framework, effective from 1 July 2007.

<i>Construction and Property Services Industry Skills Council (CPSISC)</i>	CPSISC represents the workforce training and skills development needs of the construction and property services industries in Australia. CPSISC develops, manages and distributes nationally recognised training Packages and associated training and assessment materials. Ph: 02 6253 0002 Email: info@cpsisc.com.au
<i>Construction Induction Card (CIC)</i>	A wallet sized plastic card issued by WorkCover NSW on receipt of an <i>Application for a WorkCover NSW Construction Induction Card</i> by a person who has successfully completed general induction training.
<i>Ethical behaviour</i>	Means conforming to the accepted standards of professional behaviour. Being open, honest and fair in interpersonal and professional relationships. Respecting the dignity and rights of individuals and groups of people. Being accountable for one's actions. Refer to the Code of Conduct for more information.
<i>Evidence of Identity (EOI)</i>	The method used to prove the identity of an individual. WorkCover NSW prescribes the method and acceptable documents that can be accepted to prove the identity of an individual prior to the delivery of general induction training.
<i>General induction training</i>	One of three types of induction training referred to in the National Code. General induction training is formal training that meets the requirements of the specified unit of competency, "CPCCOHS1001A Work safely in the construction industry".
<i>Mandated assessment tool</i>	The instrument or tool used to collect and record evidence of an assessment as part of the general induction training. WorkCover NSW mandates the use of a standardised assessment tool for the purposes of ensuring the quality and integrity of general induction training delivered under the National Code in NSW.
<i>Nominal delivery time</i>	The nominal duration of general induction training is six hours face-to-face delivery (Part 6 of the National Code). This can be extended, where necessary, to accommodate learning preferences or special learning needs.

<i>Nominated trainer</i>	A person who has been nominated by an RTO to deliver (or assess for RPL) general induction training in NSW. The RTO is required to provide WorkCover NSW with a list of all nominated trainers and gain approval prior to the delivery of training or an assessment for RPL. The National Code also states that the RTO is required to ensure that the training is delivered by a competent person who holds a Certificate IV in Training and Assessment from the Training and Assessment Training Package, or is able to demonstrate equivalent competencies, and has vocational competencies relevant to the construction industry.
<i>Participant</i>	A person attending general induction training in the capacity of a learner.
<i>Post notification</i>	The WorkCover NSW form(s) used to notify WorkCover NSW after delivery of general induction training to enable WorkCover NSW to issue a CIC card. RTOs are required to notify WorkCover NSW within seven days of delivery of general induction training in NSW.
<i>Pre-notification</i>	The WorkCover NSW form(s) used to advise WorkCover NSW of the RTO's intention to deliver general induction training in NSW. RTOs are required to notify WorkCover NSW seven to 14 days prior to delivery of general induction training.
<i>Recognition of Prior Learning (RPL)</i>	The process used to collect and record evidence, and make a judgment on the recognition of current competence regardless of how, when or where the learning occurred. WorkCover NSW mandates the use of a standardised RPL tool.
<i>Recognition of Prior Learning (RPL) tool</i>	The instrument or tool used to collect and record evidence of RPL. WorkCover NSW mandates the use of a standardised RPL tool for the purposes of ensuring the quality and integrity of general induction training delivered under the National Code in NSW.
<i>Registered Training Organisation (RTO)</i>	An RTO is an organisation registered by a State Training Authority (STA) to deliver training and/or conduct assessments and issue nationally recognised qualifications in accordance with the AQTF.
<i>Statements of Training (SOT)</i>	The WorkCover NSW statement issued on the day of training to a participant who has successfully completed general induction training. SOTs are valid for 30 days from the date of issue and can be used as evidence that general induction training has been successfully completed, while the RTO lodges the paperwork with WorkCover NSW and the <i>Application for a WorkCover NSW Construction Induction Card</i> is being processed by WorkCover NSW.

<i>State Training Authority (STA)</i>	The body in each State or Territory responsible for the operation of the VET system within that jurisdiction. The Vocational Education and Training Accreditation Board (VETAB) is the STA for NSW.
<i>Suitable Venue and Appropriate Learning Environment</i>	<p>A suitable venue and appropriate learning environment may include the provision of:</p> <ul style="list-style-type: none"> • adequate lighting and ventilation • suitable chairs and tables for each participant to undertake administrative functions, course activities and complete assessments • an environment free of external noise • a venue suitable for learning activities. <p>The RTO must not allow training to be delivered at a private residence unless it is free of domestic activities and is separated from the personal living area.</p>
<i>Training</i>	The entire process from the pre-notification of general induction training to WorkCover NSW, through to and including the post-notification to WorkCover NSW after the delivery of general induction training.
<i>Training evaluation form</i>	The form used to capture and record the participant's comments to ascertain if the training has achieved its objectives.
<i>Training records</i>	All records and forms associated with the delivery of general induction training that must be kept by the RTO as specified in these Administration Guidelines.
<i>Variation</i>	<p>The WorkCover NSW form used to change or vary the details of a pre-notification to WorkCover NSW.</p> <p>Variations must be submitted to WorkCover NSW no less than 48 hours prior to the delivery of general induction training.</p>
<i>Vocational Education and Training Accreditation Board (VETAB)</i>	VETAB is the STA for NSW and has responsibility for approving RTOs and authorising additions to scope of registration for RTOs.
<i>WorkCover NSW Code of Conduct for Registered Training Organisations Delivering General Induction Training in NSW (Code of Conduct)</i>	The Code of Conduct is issued by WorkCover NSW and is to be adhered to by RTOs conducting general induction training in NSW. The Code of Conduct has been prepared to assist RTOs and their nominated trainers in achieving a professional standard of business practice.

SECTION 1 – CONDITIONS OF APPROVAL

The following conditions of approval apply to all RTOs and their nominated trainers when delivering general induction training in NSW.

All RTOs and their nominated trainers must:

- a. comply with the conditions of approval in this Section 1
- b. comply with all requirements of these Administration Guidelines
- c. comply with the *WorkCover NSW Code of Conduct for Registered Training Organisations Delivering General Induction Training in NSW*
- d. comply with the AQTF 2007 *Essential Standards for Registration* when delivering and assessing the specified unit of competency for general induction training under the National Code
- e. notify and gain approval from WorkCover NSW for all nominated trainers prior to them delivering general induction training or prior to undertaking an assessment for RPL
- f. notify WorkCover NSW in writing, within 14 days of any nominated trainer who is no longer authorised by the RTO to deliver general induction training
- g. notify WorkCover NSW in writing within 14 days of any change to the contact details of the RTO or authorised officer
- h. ensure all training delivered in NSW is delivered by a nominated trainer using face-to-face delivery techniques. Distance education and on-line learning are not permitted in NSW for general induction training
- i. ensure all participants attending training have been assessed for competence using the WorkCover NSW mandated assessment tool
- j. ensure all participants requesting RPL are assessed for competence using the WorkCover NSW mandated RPL tool
- k. maintain records of all RPL granted
- l. attend any compulsory briefings, orientation programs or assessment programs as requested by WorkCover NSW. Non-attendance may result in a suspension or cancellation of WorkCover NSW approval to deliver general induction training in NSW
- m. cooperate with any reasonable requests from WorkCover NSW in connection with the registration, approval or delivery of general induction training in NSW
- n. represent WorkCover NSW in a professional manner
- o. maintain ethical and professional conduct in connection with the advertising and delivery of general induction training
- p. protect the copyright of WorkCover publications
- q. immediately advise WorkCover NSW, in writing, of any court conviction against the RTO or a nominated trainer in Australia for an OHS offence
- r. immediately advise WorkCover if the RTO's registration is suspended, cancelled or amended in any way by a State Training Authority
- s. immediately advise WorkCover NSW of any criminal offence of the RTO, its directors or its nominated trainers

- t. immediately report to WorkCover NSW any identified breach of these Administration Guidelines or the Code of Conduct by another RTO or by a nominated trainer
- u. immediately report to WorkCover NSW any nominated trainer who is identified as being suspended or cancelled as an OHS service provider in any State or Territory.

SECTION 2 – SUMMARY OF ADMINISTRATION GUIDELINES

The following summary of the Administration Guidelines is a quick reference guide for RTOs and their nominated trainers. RTOs and nominated trainers must refer to the specific guidelines and/or the conditions of approval in Section 1 for full detail of the requirements.

PRE-NOTIFICATION TO WORKCOVER NSW

Notify WorkCover NSW	Guidelines
<ul style="list-style-type: none"> The RTO is to notify WorkCover NSW no later than seven calendar days, but not more than 14 calendar days, prior to the commencement of general induction training. 	1
Variation(s) of training <ul style="list-style-type: none"> The RTO must notify WorkCover NSW of all variations to the original pre-notification no later than 48 hours prior to commencing delivery of general induction training. 	2

BEFORE DELIVERING GENERAL INDUCTION TRAINING

Evidence Of Identity (EOI) Check <ul style="list-style-type: none"> The RTO is to ensure that an EOI check is undertaken and the EOI form is completed for each participant immediately prior to the commencement of general induction training. 	6
Evidence of Identity (EOI) Table <ul style="list-style-type: none"> The RTO is to ensure that only documents contained within the EOI table are accepted. Participants who cannot provide EOI must not be allowed to participate in the general induction training. 	7

DELIVERING GENERAL INDUCTION TRAINING

Nominal Duration <ul style="list-style-type: none"> The nominal duration for face-to-face delivery of the unit is six hours. 	12
Assessing Participants <ul style="list-style-type: none"> WorkCover NSW mandates the use of a standardised assessment tool for each participant. 	16

AFTER DELIVERING GENERAL INDUCTION TRAINING

<ul style="list-style-type: none"> The RTO is to ensure participants receive and complete an evaluation form. 	17
<ul style="list-style-type: none"> The RTO is to ensure that a SOT is issued to each participant who successfully completes general induction training on the day of training. 	18
<ul style="list-style-type: none"> The RTO is to ensure that each participant completes an application form for a WorkCover Construction Induction Card (CIC card) on the day of training. 	19

POST-NOTIFICATION TO WORKCOVER NSW

<ul style="list-style-type: none"> The RTO is to ensure that the completed application forms, the Post-Notification (POST) form and the appropriate payment is submitted to WorkCover NSW via post within seven (7) calendar days of the completion of general induction training. 	26
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SECTION 3 – ADMINISTRATION GUIDELINES

3.1 PRE-NOTIFICATION TO WORKCOVER NSW

Notify WorkCover NSW

1. The RTO is to ensure that WorkCover NSW is notified of all general induction training delivered in NSW no later than seven (7) calendar days, but not more than fourteen (14) calendar days prior to the commencement of general induction training by completing the *Pre Notification For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work* form (the pre-notification form) and sending it by facsimile to WorkCover NSW on 02 9287 5231. A copy of the facsimile transmission report is to be retained by the RTO for auditing.

Variation(s) to Original Pre-Notification Of Training

2. The RTO is to ensure that:
 - a. all variations to an original pre-notification referred to in guideline 1 above, are sent to WorkCover NSW, including changes to:
 - scheduled date
 - start time/finish time
 - venue
 - nominated trainer
 - b. all variations are notified to WorkCover NSW no later than 48 hours prior to the delivery of the general induction training. Variations may be notified by completing the *Variation For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work* form (variation form) and sending it by facsimile to WorkCover NSW on 02 9287 5231. A copy of the facsimile transmission report is to be retained by the RTO for auditing.

Note: WorkCover NSW will not accept a variation that reduces the total notification time period to less than seven (7) days before the commencement of training.

Cancellation of Training

3. The RTO is to ensure that:
 - a. all cancellations of training, including on the day of delivery, are immediately notified to the Third Party Management Unit on 1800 855 969. The RTO must then confirm the cancellation by faxing a variation form to WorkCover on 02 9287 5231.
 - b. all cancellations of training on a weekend or public holiday are notified to the Third Party Management Unit on 1800 855 969 on the next business day. The RTO must then confirm the cancellation by faxing a variation form to WorkCover on 02 9287 5231.

3.2 BEFORE DELIVERING GENERAL INDUCTION TRAINING

4. The RTO is to ensure the maximum number of participants attending general induction training in any one session does not exceed twenty (20).

Evidence Of Identity (EOI) Check

5. The RTO is to ensure the minimum age of a person attending general induction training is fourteen (14) years.
6. The RTO is to ensure that a 100-point EOI check is undertaken for each participant immediately prior to the commencement of general induction training by completing an *Evidence Of Identity For General Induction Training Under The National Code Of Practice For Induction For Construction Work* form (EOI form). The EOI form is to be retained by the RTO and may be called upon for review during an audit or in response to a complaint or compliance related issue.

The RTO is not to allow any person who cannot provide adequate EOI to commence training.

7. The RTO is to ensure that only EOI documentation contained within the EOI table (below) or the Special Provisions for EOI (Appendix 1) are accepted.
8. Within the EOI documents, the participant must be able to show their:
 - photo
 - date of birth
 - signature
 - current address

and all EOI documentation must:

- be originals (certified documents are not to be accepted)
- be in the same name unless accompanied by a document from the NSW Registry of Births, Deaths and Marriages (or State/Territory equivalent) verifying the change of name
- include the participant's full name initials can only be accepted for property (Council) Rates Notice
- be in English unless accompanied by an English translation issued by a NAATI accredited translator.

Note: bank statements/credit cards and savings account cards from overseas institutions can only be accepted if the institutions have representation in Australia, subject to the card or statement being issued in Australia and in English.

EVIDENCE OF IDENTITY (EOI) TABLE		
Document Type	Document	Points
Primary Documents Only use ONE primary document.	Australian Birth Certificate or Birth Card issued by the Registrar of Births, Deaths and Marriages	70
	Passport – Australian or International (Current or expired within last two years, but not cancelled)	70
	Australian Citizenship Certificate	70

Secondary documents 1. Allowed to use a combination of secondary documents. 2. If you want to use more than one credit and savings account card, they must be from different banks.	Current Australian issued driver's licence	40
	Current Australian issued learner driver's licence/permit	40
	Current Australian boat operators licence with photo	40
	Current NSW firearms photo licence	40
	Current Australian issued NCOC photo licence (post 2006) or High Risk Work Licence	40
	Current Australian state or territory proof of age/photo card (eg NSW RTA issued photo card)	40
	Australian Defence or Police photo identification card	40
	Department of Veterans Affairs Card	25
	Centrelink Card	25
	Property (Council) rates notice	25
	Property lease agreement	25
	Home insurance papers	25
	A utility bill (eg water, electricity, gas)	25
	Telephone account	25
	Credit cards/savings accounts cards/bank statements	25
	Medicare Card	25
	Motor vehicle registration or insurance documents	25

Special Provisions for EOI

Special provisions for EOI apply to the following groups:

- School Sector
- Correctional Centres
- Aboriginal and Torres Strait Islanders.
- Overseas persons recently arrived in Australia (less than six weeks)

Refer to Appendix 1 at the end of these Administration Guidelines for further information on the special provisions for EOI.

All enquiries or requests for assistance related to the EOI requirements are to be made to the Third Party Management Unit on 1800 855 969 prior to the delivery of general induction training.

3.3 DELIVERING GENERAL INDUCTION TRAINING

9. The RTO is to ensure that the nominated trainer delivers and assesses general induction training in accordance with the requirements of the specified unit of competency “CPCCOHS1001A *Work safely in the construction industry*”.
10. The RTO is to ensure that the nominated trainer has a copy of these Administration Guidelines and Code of Conduct in their possession at the time of delivery of general induction training.
11. The RTO is to ensure the nominated trainer has in their possession at the time of delivery of general induction training, appropriate teaching and instructional material (ie trainer’s notes, overheads, assessment tools, evaluation forms etc), sufficient resources (ie handouts etc) and sufficient copies of WorkCover NSW statements of training (SOT).
12. The RTO is to ensure that general induction training is delivered with a nominal duration of six hours face-to-face delivery. Suggested timeframes for each element of the unit are detailed within the CPSISC Trainer’s and Assessor’s Guide for the specified unit of competency. Timeframes may be extended, where necessary, to accommodate learning preferences or special learning needs.
13. The RTO is to ensure that administration activities (ie registration of participants, EOI checks and completion of EOI and applications forms etc) are not undertaken as part of the nominal duration of six hour face-to-face delivery.
14. The RTO is to ensure appropriate breaks are provided during the training. These breaks should be timed at the discretion of the nominated trainer. At least one short break of 15 minutes must be provided. The time allocated for the break(s) is in addition to the nominal duration of six hour face-to-face delivery.
15. The RTO is to ensure the nominated trainer promotes a positive and effective learning environment by:
 - a. clearly outlining the learning outcomes and assessment processes
 - b. encouraging participation and interaction
 - c. ensuring that participants with differing learning needs are given the same opportunity as other participants in gaining skills and knowledge through the training
 - d. ensuring that the learning environment is free from harassment and discrimination
 - e. ensuring that the audiovisual material (eg slides) are well-organised and easy to follow
 - f. ensuring enough resources are available for all learners to participate in the activities and assessment
 - g. providing enough time to complete activities
 - h. answering questions clearly and correctly
 - i. providing handouts in colour where appropriate (eg safety signs, fire extinguishers)

- j. using a variety of delivery methods (eg lecture, large and small group discussions, videos)
 - k. engaging participants in a range of learning activities (eg group activities, question and answer sessions, brainstorming, case studies)
 - l. using clear language to describe concepts
 - m. summarising the content at the end of each topic
 - n. providing feedback to the participants on their progress throughout the training session.
16. The RTO is to collect and record evidence of competence for each individual who undertakes general induction training to demonstrate that the individual can perform to the competency standard. WorkCover NSW mandates the use of a standardised assessment tool for collecting and recording evidence of competence. Records of all assessments must be maintained for WorkCover and VETAB auditing.

3.4 AFTER DELIVERING GENERAL INDUCTION TRAINING

17. The RTO is to ensure that a training evaluation form is issued to each participant with a request that the evaluation form be completed and returned to either the nominated trainer or to the RTO. While WorkCover NSW provides an evaluation form for use by participants, an RTO may develop and/or use its own.
18. The RTO is to ensure that an SOT is issued to each participant who successfully completes general induction training on the day of successful completion.
19. The RTO is to ensure that each participant who successfully completes general induction training is issued with an *Application For A WorkCover NSW Construction Induction Card Under The National Code Of Practice For Induction For Construction Work* form (application form) on the day that general induction training is successfully completed. Completion of this form cannot commence prior to the completion of training.
20. The RTO is to ensure that:
- a. the participant completes the training details section of the application form, including:
 - the nominated trainer and RTO's name
 - date of training
 - actual start time
 - actual finish time
 - the duration of all breaks
 - b. that each participant signs and dates the declaration.
21. The RTO is to ensure that they do not influence the participants when recording the start time, the finish time and the total duration of all breaks on the application form.

22. The RTO is to ensure that the completed application forms are collected from participants on the day general induction training was successfully completed and verify that:
- a. the application form has been completed in full
 - b. the applicant's details are legible and accurate (ie name, address, date of birth etc)
 - c. the training details have been recorded accurately. This includes the trainer's name, the SOT number, the date of training, the start time and finish time of the training and the total time of all breaks taken
 - d. the declaration has been signed and dated by the participant.
23. If literacy is identified as an issue, the RTO may arrange for assistance to be provided to a participant to complete the application form on their behalf. However, the RTO is to ensure that a written explanation is provided with the application form stating the reason why the RTO completed the form. The participant is required to sign the explanation.
24. The RTO is to ensure that if delivering or translating in a language other than English, that they comply with the following AQTF requirements:

Guideline on AQF Certification

Part D: Exemplars, Note 11

Source: http://www.vetab.nsw.gov.au/docs/aqf_certification_guideline_part_d_exemplars.pdf

"If the majority of the units of competency comprising the AQF qualification have been delivered and assessed in a language other than English, the words "The qualification was delivered and assessed in" [followed by the name of language] must be included.

If the unit of competency or majority of the units/modules listed on the Statement of Attainment was delivered and assessed in a language other than English, the words "The competencies were (or The competency was) delivered and assessed in" [followed by the name of the language] must be included.

For guidance see the NTQC Policy on Languages for Delivering and Assessing Vocational Education and Training (available at www.dest.gov.au/sectors/training_skills/publications_resources/profiles/anta/profile/ntqc_policy_on_languages.htm)" or contact your state training authority.

3.5 POST-NOTIFICATION TO WORKCOVER NSW

25. The RTO is to ensure that a *Post-Notification For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work* (POST form) has been completed in full and verify that:
- the trainer's details are accurately recorded
 - the date of training, the start time, the finish time and the total duration of all breaks are accurately recorded
 - any approved exemption number is recorded
 - the nominated trainer has signed the trainer's declaration.

26. The RTO must submit to WorkCover NSW, within seven calendar days of the completion of general induction training, the following forms, and ensure all forms are accurate and completed in full:
- a. The completed *Post-Notification For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work* form.
 - b. The completed *Application For A WorkCover NSW Construction Induction Card Under The National Code Of Practice For Induction For Construction Work* forms for each applicant who successfully completed the training.
 - c. Payment of the administration fee calculated at \$20 per successful participant, ie per application form (GST exempt).

The completed documents and payment are to be sent by post to:

Licensing Solutions
WorkCover NSW
Locked Bag 2906
LISAROW NSW 2252

SECTION 4 – RECOGNITION OF PRIOR LEARNING (RPL)

The National Code makes provision for RPL. Part 4 of the National Code at page 7 defines RPL as:

“Recognition of Prior Learning (RPL) means recognition of competencies currently held, regardless of how, when or where the learning occurred. RPL assesses the individual’s prior learning to determine the extent to which that individual is currently competent against the required learning outcomes, competency outcomes or standards for entry to, and/or partial or total completion of, a qualification.”

Part 6 of the National Code at page 15 also states:

“General induction training may also be given as part of apprenticeship training. Under the AQTF, an RTO is required to assess the adequacy of any equivalent qualifications (eg OHS training module for construction apprenticeships) or evidence of prior learning against the required learning outcomes of the general induction course before exempting any person from undertaking the general induction training.”

Adjustments to these guidelines for the provision of RPL

While RTOs are required to comply with all requirements contained within these administration guidelines, the following adjustments have been made to allow for the provision of RPL.

- RTOs are not required to undertake any of the Pre-Notification to WorkCover NSW requirements contained within these guidelines prior to assessing an applicant for RPL (ie guidelines 1, 2 and 3).
- RTOs are not required to undertake any of the Delivering General Induction Training requirements contained within these guidelines (ie guidelines 9 to 16).
- RTOs are not required to undertake any requirement not specifically related with the provision of the assessment for RPL (ie max class sizes, evaluation forms, completing and validating the ROT form).

However, the following guidelines apply specifically for the provision of RPL:

27. The RTO is to ensure that:

- a. each individual who applies for RPL undertakes a 100 point EOI check prior to the commencement of the assessment for RPL by completing an EOI form
- b. the EOI check is undertaken in accordance with these Administration Guidelines (ie guidelines 5, 7 and 8).

28. The RTO is to collect and record evidence of current competence against the required learning outcomes for each individual who requests to be assessed for RPL. WorkCover NSW mandates the use of a standardised RPL tool for collecting and recording an individual's competence.

29. If RPL is granted for general induction training, the RTO is to complete the *Recognition Of Prior Learning For General Induction Training Under The National Code Of Practice For Induction For Construction Work* form (RPL form). The date RPL is granted is to be recorded on the RPL form and is to be reflected as the date of training recorded on the SOT.

30. If RPL is granted for general induction training, the RTO is to ensure:

- an SOT is issued to each individual who is granted RPL
- an Application form is issued to each individual who is granted RPL and the RPL section of the form is completed
- the completed RPL form, application form and payment of the administration fee (calculated at \$20 per application – GST exempt) is submitted to WorkCover NSW within seven calendar days of completion of the RPL assessment.

SECTION 5 – TRAINING RECORDS

31. The RTO is to ensure that the following training records are maintained for general induction training delivered in NSW:

- All pre-notification forms, this includes:
 - pre-notification forms and facsimile transmission reports
 - variation forms and facsimile transmission reports
- Evidence of Identity forms
- post-notification forms
- Recognition of Prior Learning forms
- Records of all WorkCover NSW exemptions to these administration guidelines that have been approved
- Documentary evidence that each participant who has successfully completed general induction training has been assessed in accordance with the mandated assessment tool
- Documentary evidence that each participant who has been granted RPL has been assessed in accordance with the mandated RPL tool
- Records of all SOT numbers that:
 - have been received from WorkCover NSW
 - have been issued by the RTO to participants who successfully completed the training
 - are damaged and/or have been returned to Workcover NSW
 - are currently available or held in stock
- Participant evaluation forms
- Any other relevant correspondence with WorkCover NSW.

32. WorkCover NSW requires training records be retained by the RTO for a minimum of three (3) years after the training and these records must be made available to WorkCover NSW on request.

33. RTOs may have additional record keeping requirements placed on them under their registration as an RTO with a State Training Authority (ie VETAB in NSW). We draw your attention to the following extract from the National Code at page 19 which sets out responsibilities imposed on RTO by the relevant State Training Authority.

“Record keeping responsibilities

RTO responsibilities:

RTOs are required to document and implement procedures to assure the integrity, accuracy and currency of records, including:

- *secure storage, including backup of electronic records*
- *retention, archiving and retrieval of student results for a period of 30 years*
- *retention, archiving and retrieval and transfer of all other records consistent with contractual, legal and registration requirements*

- *compliance with external reporting requirements*
- *safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf*
- *ensuring that except as required under the Standards for Registered Training Organisations or by law, information about a client is not disclosed to a third party without the consent of the client, and*
- *access by clients to their personal records”*

SECTION 6 – STATEMENTS OF TRAINING

Statements of Training (SOT) documents will only be distributed to RTOs by registered mail. The RTO should allow a minimum of fourteen (14) calendar days to ensure delivery prior to the commencement of general induction training.

The RTO will require a Personal Identification Number (PIN) when ordering SOT. WorkCover NSW will provide the PIN to the RTO when approval is granted to deliver general induction training. The RTOs can order SOT by faxing the completed *Request for WorkCover NSW Statements of Training For General Induction Training Under The National Code Of Practice For Induction For Construction Work* form (SOT form) to WorkCover NSW on **02 9287 4524**

34. The RTO is not to share, swap or loan their SOT with any other RTO.
35. The RTO is to ensure that SOT are kept secure at all times and are not to be left unattended prior to, or during the delivery of, general induction training.
36. Training records, including SOT, must be maintained in a secure location to prevent loss or damage through theft, fire, or flooding or access by other persons.
37. Damaged SOT must be returned to the Third Party Management Unit. The RTO is to maintain a record of all SOT that have been returned to WorkCover NSW.
38. In the event training records are lost, stolen or destroyed, the RTO must advise the Third Party Management Unit in writing, as soon as possible, with details on what happened and what specific records were lost (eg SOT, Pre/Post Notification forms etc). WorkCover NSW may contact the RTO to verify the SOT number of any SOT that have been lost, stolen or destroyed. The RTO may also have a responsibility under their registration as an RTO to notify their State Training Authority (ie VETAB in NSW).
39. In the event of ceasing business, being suspended or cancelled as an RTO or having its WorkCover approval to deliver general induction training suspended or cancelled, the RTO must return all unused SOT to the Third Party Management Unit within 21 days.

SECTION 7 – THIRD PARTY MANAGEMENT UNIT

The Third Party Management Unit (3PM) maintains a hotline specifically for RTOs and nominated trainers who require quick access to information and/or clarification of any of the Administration Guidelines, the Code of Conduct or any other issues related to the delivery of general induction training in NSW. The hotline number should not be provided to general induction training participants who are seeking information regarding the processing of their CIC card or any other health and safety issue. Participants seeking information on their CIC card should contact 1800 335 791. For all other matters, the WorkCover NSW Assistance Service may be contacted on 13 10 50.

The 3PM hotline hours are 8:30 am to 5:00 pm, Monday to Friday.

Important Contact Details for 3PM

3PM Hotline:	1800 855 969
Hours: 8:30am – 5:00pm Monday to Friday	
Address:	Third Party Management Unit WorkCover NSW Locked Bag 2906 Lisarow NSW 2252
Email:	thirdparty@workcover.nsw.gov.au
Fax:	02 9287 5994

Other Important Contact Information

Notification or Variations of Training	
Fax:	02 9287 5231
Requests For SOT	
Fax:	02 9287 4524
WorkCover Assistance Service	13 10 50
Hours: 8:30am – 5:00pm Monday to Friday	
Licensing Solutions (processing of CIC cards)	1800 335 791
Hours: 8:30am – 5:00pm Monday to Friday	

SECTION 8 – WORKCOVER NSW FORMS

The following forms are to be used by the RTO or their nominated trainers for the administration of general induction training. These forms are available online on the WorkCover NSW website at www.workcover.nsw.gov.au

FORM NAME	NUMBER
Application For A Registered Training Organisations (RTO) to DELIVER GENERAL INDUCTION TRAINING In NSW Under The National Code Of Practice For Induction For Construction Work	RTO-APP-01
Application For A Registered Training Organisation (RTO) to ADD OR REMOVE A NOMINATED TRAINER OR AUTHORISED OFFICER For Delivery Of General Induction Training Under The National Code Of Practice For Induction For Construction Work	RTO-ADD-01
REQUEST FOR WORKCOVER NSW STATEMENTS OF TRAINING For General Induction Training Under The National Code Of Practice For Induction For Construction Work	RTO-SOT-01
CHANGE OF CONTACT DETAILS For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work	RTO-CHA-01
PRE NOTIFICATION For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work	CIC-NOT-01
VARIATION For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work	CIC-VAR-01
EVIDENCE OF IDENTITY For A Workcover NSW Construction Induction Certificate Under The National Code Of Practice For Induction For Construction Work	CIC-EOI-1
POST-NOTIFICATION For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work	CIC-POST-01
RECOGNITION OF PRIOR LEARNING For General Induction Training Under The National Code Of Practice For Induction For Construction Work	CIC-RPL-01
WORKCOVER TRAINING EVALUATION FORM For RTOs Delivering General Induction Training In NSW Under The National Code Of Practice For Induction For Construction Work	CIC-EVA-01
APPLICATION FOR A WORKCOVER NSW CONSTRUCTION INDUCTION CARD Under The National Code Of Practice For Induction For Construction Work	CIC-APP-01

SECTION 9 – SITE VISITS, AUDITS AND COMPLIANCE

Audit and Investigation Processes

To ensure the quality and integrity of general induction training delivered under the National Code in NSW, WorkCover NSW staff may observe and monitor the delivery and assessment of general induction training.

WorkCover NSW has a systematic auditing process in place to review the conduct of RTOs and their nominated trainers in the delivery and assessment of general induction training, to ensure compliance with the specified unit of competency, the conditions of approval in Section 1, these Administration Guidelines, the Code of Conduct and the mandated assessment and RPL tools.

WorkCover NSW will investigate any allegation made, or a complaint received, against an RTO or their nominated trainers including, but not restricted to, the following:

- A breach of these Administration Guidelines or the Code of Conduct
- Inappropriate, discriminatory or corrupt behaviour
- Inappropriate or discriminatory comments.

As a result of an audit or investigation, WorkCover NSW may contact the RTO and/or the nominated trainer requesting further information or assistance. The RTO and their nominated trainers are required to cooperate with any such request and refusal or hindrance may result in the suspension of the RTO's WorkCover NSW approval to deliver general induction training in NSW.

WorkCover NSW may also share any information regarding the RTO with the relevant State Training Authority ie VETAB in NSW.

Penalties for Non-Compliance

WorkCover NSW may impose penalties on an RTO for not complying with these Administration Guidelines and relevant provisions of the OHS Act and Regulation.

The penalty will be determined by the type, frequency and severity of the breach. Penalties may include:

- corrective action notice
- suspension of WorkCover NSW approval to deliver General Induction Training in NSW (up to 12 months)
- cancellation of WorkCover NSW approval to deliver construction induction training in NSW
- prosecution.

Prior to any suspension or cancellation, WorkCover NSW will issue to the RTO written notice of the proposed suspension or cancellation. The RTO will be given 28 days to make written representations to WorkCover NSW in relation to the proposed suspension or cancellation. WorkCover NSW will have regard to the written representations before suspending or cancelling an RTO's approval.

If an RTO has had their approval to deliver general induction training suspended or cancelled, this may also result in the suspension or cancellation of other accreditations, approvals or registrations held by the RTO with WorkCover NSW.

WorkCover NSW may refuse to accept an application from an RTO or refuse to acknowledge training delivered by a nominated trainer who has been suspended or cancelled from delivering a service by either a State Training Authority or by any State or Territory OHS Regulator.

Review Process

If the RTO does not agree with the decision by WorkCover NSW to suspend or cancel their approval, the RTO is entitled to request an internal review of the decision.

If the RTO wishes to apply for an internal review, a written request, including any additional information, must be submitted to the following address within 28 days of being notified of the decision to suspend or cancel the RTO's approval:

The Coordinator

Third Party Management Unit

WorkCover NSW

Locked Bag 2906

LISAROW NSW 2252

The request for review is to specifically address the issues as identified by WorkCover NSW. If a request for review of the decision is not received within 28 days, WorkCover NSW will proceed with the proposed suspension or cancellation.

APPENDIX 1 – SPECIAL PROVISIONS FOR EVIDENCE OF IDENTITY (EOI)

Special provisions apply to the following groups:

- School Sector
- Correctional Centres
- Aboriginal and Torres Strait Islanders
- Overseas visitors or persons recently arrived in Australia (less than six weeks).

All evidence of identity (EOI) documents provided must be original. Certified documents cannot be accepted.

Where the person cannot provide 100 points of EOI and does not fall within the groups covered by the special provisions, the nominated trainer **must not** allow the participant to commence general induction training. Please contact the Third Party Management Unit hotline on 1800 855 969 or thirdparty@workcover.nsw.gov.au or fax 02 9287 5994 for further information.

School Sector

The following provisions apply to the EOI requirements for school students. The special provisions are based on the Financial Transactions Regulation 1990, Regulation 6 – Child under 18.

Please complete the EOI form and the Special Provisions Part A – School Sector using one of the following options listed below.

1. The identity of the student may be verified by sighting one of the following original documents:
 - Australian Birth Certificate or Birth Card issued by the Registry of Births, Deaths and Marriages in each state.
 - Australian Citizenship Certificate.
 - International travel documents including a current passport or a passport that has expired but has not been cancelled within the preceding two years.
 - Australian Learners Permit or Drivers Licence (current)
 - Current Australian issued Driver's Licence or Learner Driver's Licence/Permit.

OR

2. The identity of the student may be verified by sighting a written statement signed by **one** of the following school officials:
 - Principal or Deputy Principal
 - Head Teacher or Deputy Head Teacher
 - Secretary or Deputy Secretary
 - Chief Administrator or Deputy Chief Administrator.

The statement must be written on the school letterhead and include the student's date of birth.

OR

3. The identity of the student may be verified by sighting a Student ID card issued by the school containing the school crest/seal or stamp. The student ID card must have the student's photo, name and date of birth.

Correctional Centres

The following provisions apply to the EOI requirements for Correctional Centre inmates.

The special provisions are based on an existing agreement between WorkCover NSW and the Department of Corrective Services.

Correctional Centre inmates will need to provide documentary evidence of EOI equating to 100 points using acceptable EOI listed in the table below. Please complete the EOI form and the Special Provisions Part B – Correctional Centres using the acceptable evidence of identity listed in the table below.

Document	Points Value
Full Australian Birth Certificate (not an extract)	70
Australian Passport	70
Australian Certificate of Citizenship	70
Current Driver's Licence	40
Medicare Card	25
Statement from Centrelink	25
Letter of Verification of Identity of identity from the Department of Corrective Services	25
Correctional Centre Inmate MIN Card	5

The trainer must sight the original EOI documents on the day, prior to general induction training being delivered.

Aboriginal and Torres Strait Islanders

Special provisions apply to the EOI for people with an Aboriginal or Torres Strait Islander background.

The EOI must be verified by two persons recognised as Authorised Referees.

Authorised Referees for Aboriginal and Torres Strait Islanders include:

- Chairperson, Secretary or CEO of an incorporated indigenous organisation (including land councils, community councils, housing organisations etc)
- Structured Training and Employment Projects (STEP) Employment and Related Services (STEP ERS) panel member (formally the Community development Employment project (CDEP) Coordinator)
- School Principal/Counsellor
- Minister of Religion
- Treating Health Professional or Manager in an Aboriginal Medical Service or Health Service
- Centrelink Agent or Government employee with at least two years continuous service (State, Territory or Commonwealth Government).

The authorised referee is to verify the person's identification by providing a written statement on organisational or company letterhead. The written statement must include:

- The person's full name, current address and date of birth
- Evidence that the Authorised Referee has witnessed the person's signature
- The period of time the Authorised Referee has known the person and how they have known the person eg professionally or personally
- The Authorised Referee's signature and date.

Please complete the EOI form and the Special Provisions Part C – Aboriginal and Torres Strait Islanders.

Overseas Persons Recently Arrived in Australia (Less than six weeks)

Special provisions apply to the EOI for overseas visitors or for persons that have recently arrived in Australia.

These special provisions only apply if:

- immediately before the person most recently arrived in Australia, the person was not ordinarily a resident of Australia
- the person has been in Australia for less than six weeks.

Please complete the EOI form and the Special Provisions Part C – Overseas Persons Recently Arrived In Australia Less Than Six Weeks using the acceptable evidence of identity listed below:

An international travel document which includes:

- a current passport
- a passport, which is expired but not cancelled, within the preceding two years
- other international documents of identity, which have the same characteristics as a passport eg diplomatic documents and documents issued to refugees.

AND

One of the following supporting EOI documentation:

- drivers licence (Overseas or Australian)
- savings/credit card or statement (Overseas or Australian).

A full 100-point EOI check is required where the person has been lawfully in Australia for more than six weeks.

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